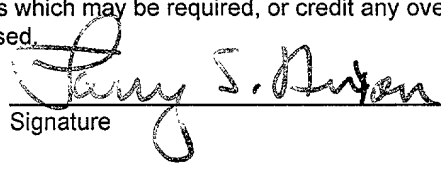


FORM PTO-1390 (REV. 5/93)		U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket Number  36-1148
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371		U.S. Application No. (if known, see 37 C.F.R. 1.5)  Unknown <b>09/043406</b>	
International Application No.  PCT/GB97/00395	International Filing Date  12 February 1997	Priority Date Claimed  12 February 1996 et al	
Title of Invention  SERVICE PROVISION SYSTEM FOR USE IN DISTRIBUTED PROCESSING ENVIRONMENTS			
Applicant(s) For DO/EO/US  O'BRIEN et al			
<p>Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information.</p> <p>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.</p> <p>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.</p> <p>3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) Articles 22 and 39(1).</p> <p>4. <input checked="" type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19<sup>th</sup> month from the earliest claimed priority date.</p> <p>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)).</p> <p>6. <input checked="" type="checkbox"/> <input type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau).</p> <p>7. <input checked="" type="checkbox"/> <input type="checkbox"/> has been transmitted by the International Bureau.</p> <p>8. <input checked="" type="checkbox"/> <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</p> <p>9. <input checked="" type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)).</p> <p>10. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)).</p> <p>11. <input checked="" type="checkbox"/> <input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau).</p> <p>12. <input checked="" type="checkbox"/> <input type="checkbox"/> have been transmitted by the International Bureau</p> <p>13. <input checked="" type="checkbox"/> <input type="checkbox"/> have not been made; however, the time limit for making such amendments has <b>NOT</b> expired.</p> <p>14. <input checked="" type="checkbox"/> <input type="checkbox"/> have not been made and will not be made.</p> <p>15. <input checked="" type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (U.S.C. 371(c)(3)).</p> <p>16. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</p> <p>17. <input checked="" type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</p> <p>18. The above checked items are being transmitted:</p> <p>19. <input checked="" type="checkbox"/> before the 18<sup>th</sup> month publication.</p> <p>20. <input checked="" type="checkbox"/> after publication and the Article 20 communication but before 20 months from the priority date.</p> <p>21. <input checked="" type="checkbox"/> after 20 months.</p> <p>22. <input checked="" type="checkbox"/> by 30 months and a proper demand for International Preliminary Examination was made by the 19<sup>th</sup> month from the earliest claimed priority date.</p> <p>23. <input checked="" type="checkbox"/> after 30 months.</p> <p><b>Note:</b> Petition to revive (37 CFR 1.137(a) or (b)) is necessary if 35 U.S.C. 371 requirements submitted (1) after 20 months and no proper demand for International Preliminary Examination was made by 19 months from the earliest claimed priority date, or (2) after 30 months and a proper demand for International Preliminary Examination was made by 19 months from the earliest claimed priority date.</p> <p>24. At the time of transmittal, Amendments to the claims under Article 34</p> <p>25. <input checked="" type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau).</p> <p>26. <input checked="" type="checkbox"/> have been transmitted by the International Bureau</p> <p>27. <input checked="" type="checkbox"/> have not been made; however, the time limit for making such amendments has <b>NOT</b> expired.</p> <p>28. <input checked="" type="checkbox"/> have not been made and will not be made.</p> <p>29. <input checked="" type="checkbox"/> Certain requirements under 35 U.S.C. 371 were previously submitted by the applicant on _____, namely:</p> <p>30. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</p> <p>31. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</p> <p>32. <input checked="" type="checkbox"/> A <b>FIRST</b> preliminary amendment.</p> <p>33. <input checked="" type="checkbox"/> A <b>SECOND OR SUBSEQUENT</b> preliminary amendment.</p> <p>34. <input checked="" type="checkbox"/> A substitute specification.</p> <p>35. <input checked="" type="checkbox"/> A change of power of attorney and/or address letter.</p>			

19. <input checked="" type="checkbox"/> Other items or information: PTO-1449 and International Search Report						CALCULATION		PTO USE ONLY	
20. <input checked="" type="checkbox"/> The following fees are submitted:						S			
<b>BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5))</b> -- Search Report has been prepared by the EPO or JPO .....\$930.00 -- International preliminary examination fee paid to USPTO (37 CFR 1.492).....\$720.00 -- No international preliminary examination fee paid to USPTO (37 CFR 1.492) but international search fee paid to USPTO (37 CFR 1.445(a)(2)).....\$790.00 -- Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO.....\$1,070.00 -- International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provision of PCT Article 33(1) to (4).....\$98.00									
<b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>						\$	930.00		
Surcharge of \$130.00 for furnishing the National fee or oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 mos. from the earliest claimed priority date (37 CFR 1.492(e)).						\$	0.00		
<b>CLAIMS</b>		<b>NUMBER FILED</b>		<b>NUMBER EXTRA</b>		<b>RATE</b>			
Total Claims		28		-20 =		7		X \$22.00	
Independent Claims		5		-3 =		2		X \$82.00	
Multiple Dependent Claims(s) (if applicable)						+\$270.00		\$ 0.00	
<b>TOTAL OF ABOVE CALCULATIONS =</b>						\$	1248.00		
Reduction by 1/2 for filing by small entity, if applicable. Affidavit must be filed also. (Note 37 CFR 1.9, 1.27, 1.28).							0.00		
<b>SUBTOTAL =</b>						\$	1248.00		
Processing fee of \$130.00, for furnishing the English Translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 mos., from the earliest claimed priority date (37 CFR 1.492(f)).							0.00		
<b>TOTAL NATIONAL FEE =</b>						\$	1248.00		
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +						\$	40.00		
Fee for Petition to Revive Unintentionally Abandoned Application (\$1,320 - Small Entity Fee = \$660)						\$	0.00		
<b>TOTAL FEES ENCLOSED =</b>						\$	1288.00		
						Amount to be refunded		\$	
						Charged		\$	
a. <input checked="" type="checkbox"/> A check in the amount of <b>\$1288.00</b> to cover the above fees is enclosed.									
b. <input type="checkbox"/> Please charge my Deposit Account No. 14-1140 in the amount of \$_____ to cover the above fees. A duplicate copy of this form is enclosed.									
c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>14-1140</u> . A duplicate copy of this form is enclosed.									
<b>SEND ALL CORRESPONDENCE TO:</b>						 Signature			
NIXON & VANDERHYE P.C. 1100 North Glebe Road, 8th Floor Arlington, Virginia 22201 Telephone: (703) 816-4000						<b>Larry S. Nixon</b> Name			
						25,640		March 18, 1998	
						Registration Number		Date	

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

**O'BRIEN et al**

Atty. Ref.: **36-1148**

Serial No. **Unknown**

Group:

Filed: **18 March 1998**

Examiner:

For: **SERVICE PROVISION SYSTEM FOR USE IN  
DISTRIBUTED PROCESSING ENVIRONMENTS**

\* \* \* \* \*

**March 18, 1998**

Honorable Commissioner of Patents  
and Trademarks  
Washington, DC 20231

Sir:

**PRELIMINARY AMENDMENT**

Prior to calculation of the filing fee and in order to place the above identified application in better condition for examination, please amend the specification and claims as follows:

**IN THE SPECIFICATION**

Page 1, before (numbered) line 4, insert:

-- Related Application

This is a continuation-in-part of our co-pending commonly assigned U.S. application Serial No. 08/695,528 filed 6 June 1996. --.

**IN THE CLAIMS**

Claim 3, line 1, delete "either one of the preceding claims" and insert

-- claim 1 --.

Claim 6, line 1, delete "any one of the preceding claims" and insert

-- claim 1 --.

O'BRIEN et al  
Serial No. Unknown

Claim 7, line 1, delete "any one of claims 3 to 6" and insert -- claim 3 --.

Claim 8, line 1, delete "either claim 6 or claim 7" and insert -- claim 6 --.

Claim 9, line 1, delete "or claim 8".

Claim 10, line 1, delete "any of claims 7 to 9" and insert -- claim 7 --.

Claim 13, line 1, delete "or claim 12".

Claim 15, line 1, delete "any one of the preceding claims" and insert  
-- claim 1 --.

Claim 16, line 1, delete "any one of the preceding claims" and insert  
-- claim 1 --.

Claim 18, line 2, delete "any one of the preceding claims" and insert  
-- claim 1 --.

Claim 26, line 1, delete "any one of Claims 23 to 25" and insert -- Claim 23 --.

#### REMARKS

The above amendments are made to place the claims in a more traditional  
format.

Respectfully submitted,

**NIXON & VANDERHYE P.C.**

By:



**Larry S. Nixon**

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PTO/PCT Rec'd 18 MAR 1998

09/04/3400

SERVICE PROVISION SYSTEM FOR USE IN DISTRIBUTED PROCESSING  
ENVIRONMENTS

The present invention relates to service provision systems for use in  
5 distributed processing environments.

Distributed processing environments are being found increasingly useful.  
Distributed processing describes the case where computing processing capacity is  
no longer centralised, for instance at a mainframe installation, but can be situated  
at various different sites with communication links between. Client/server  
10 architectures are a form of distributed processing environment in which one  
computer application, or software process, may itself be distributed between two  
or more computing platforms. These computing platforms may be for instance  
personal computers linked by a network such as a local area network (LAN).

It is sometimes necessary, in any computing environment, to support an  
15 operation by using a set of different processes. These processes may be  
colocated or installed at different physical locations. The processes may for  
instance comprise several processes for providing information and a process for  
performing a security check on the intended recipient of the information.

In an example, managers in organisations need to be able to make  
20 decisions based on information from marketing, sales, research, development,  
manufacturing, finance and legal departments. They also may need to be able to  
meet for instance a stringent security process designed to avoid the information  
falling into the wrong hands. Requesting pertinent and consistent information  
across a large company can be complex and time consuming, particularly where  
25 there are other processes involved as well. Then too, changes to information  
made in one department can have repercussions throughout a company often  
invalidating previous decisions.

Another example of a multi-process activity might be account set up. This  
might require the gathering of information from various sources, the use of a  
30 security process to screen the new account holder, the triggering of scheduling for  
account statements and other processes.

To set up an overall service may thus in fact rely on several component  
processes, each of which may have its own availability requirements in terms of,

for instance, storage capacity, communication bandwidth, time to delivery and the like.

As always, it is preferable that the time to actual provision and receipt of a service is not too long. Hence it is commonly preferable that, in any environment  
5 in which different processing capacities might have to be brought together in the provision of a service, the time to set up those different processing capacities is kept low.

In accordance with one aspect, the present invention provides a service provision system for use in distributed processing environments, said system  
10 comprising:

- an input for receiving a service request;
- service request processing means for identifying component processes for use in provisioning the requested service;
- negotiation means for use in establishing conditions applicable to provision  
15 of those component processes;
- means to access an up-datable data store for storing parameter(s) indicative of availability of identified component processes to provide the service; and
- an output for providing a response to the service request, said response  
20 comprising an indication of availability of the requested service;

wherein the processing means is adapted to process a service request by accessing one or more parameters in the data store, processing the request using the one or more parameters, and producing said response.

25 A component process might be supplied for instance by another system and/or by process capacity within the same system.

Thus, although embodiments of the present invention are equipped to negotiate for provision of component processes to provide a service, an initial indication of availability of a service is made from stored data, rather than from  
30 real-time negotiation to establish conditions of service provision. This has the advantage of speed since the real-time negotiation, in practice, can create delay.

The processing means may first identify the component processes which will be required in provision of the requested service, and access parameters in

respect of those component processes, or may have one or more parameters stored in relation to the service as a whole.

A system as described above can be embodied as a software "agent". A software agent is usually a module of software which comprises process software and data, or means to access data. The process software usually at least includes a negotiation process, for negotiating with other agents, and the data available usually includes both data which is local, or specific, to the agent, and data which has a global nature with regard to an overall system comprising the agents.

Agents are described and discussed in "Intelligent Agents: Theory and Practice" by M J Wooldridge and N R Jennings (1995), in The Knowledge Engineering Review, Vol 10(2) pp 115-152.

A system according to an embodiment of the present invention might itself be an agent. It might comprise processing and resource capacity for providing at least part of a component process or resource required to provide a service. The system however might preferably comprise a plurality of the above modules, or agents, each agent comprising (or having control of) capacity for providing at least part of a component process or resource.

The "parameters indicative of availability" mentioned above might be in the form of a set of conditions or rules, and/or data, under which a component process or resource can be provided, sometimes known as a "service level agreement" (SLA), from one agent to another or by an agent in direct provision of a service.

Where the system comprises a plurality of the modules, or agents, then the availability of a service may be indicated by the SLAs of and between the agents which will be required in provision of the service. The agents may then have a "peer to peer" relationship in which the status of all the agents is substantially equal in a team of agents brought together for the purpose of providing a service. Alternatively, there can be advantages in the agents having a hierarchical relationship in which a primary agent may have availability data for a group of "subordinate" agents. That is, the primary agent may have stored an SLA indicative of its own capability to provide a service, which SLA is determined by a predetermined set of other SLAs, these being the SLAs of the subordinate agents.

Such a hierarchy can be complex in that it may have more than one layer of subordinate agents. It can increase efficiency in estimating availability of a service since a primary agent may be able to substitute one whole group of subordinate agents for another group, in the event that the first group was not compatible with an SLA negotiated by the primary agent.

In embodiments of this type, it can be advantageous if at least some of the SLAs have a limited lifetime: a "time out" mechanism. Otherwise, actual conditions may render an SLA unsupportable, or at best misleading, by being out of date. This is particularly advantageous if the system encompasses proactive versions of services in which the system might for instance alert a user to information in relation to a service. If a relevant SLA times out, this works to reduce the possibility that the system will provide out of date or inappropriate prompts or data items.

The term "entity" may be used in the following specification. It will be understood that the term "entity" as used here can mean a piece of equipment which can communicate in a computing environment. It will in practice usually comprise at least an input and an output and, often, some means for delivering one or more of the services, or component processes, to be provided. It might be for instance a work station, personal computer or a computing network node.

In embodiments of the invention, a system will generally further comprise a control output connected to one or more tasks (component processes) and/or resources required in providing a service.

The system may also comprise a data input connected in said computing environment to one or more tasks and/or resources required to provide the service, for receiving data output by the tasks and/or processes, and data processing means to generate said parameters from said data. Alternatively, it may be that the data output by the tasks and/or processes already comprises said parameters.

Preferably, a system according to an embodiment of the invention further includes scheduling means for scheduling the running of component processes and provision of resources in support of a service. However, on receipt of a service request, the scheduling means is preferably triggered after outputting of a response to a service request to indicate availability. This avoids delay in indicating



availability caused for instance by any detailed processing and co-ordinating of scheduling data or conditions.

Once a system has agreed to provide a service, it can schedule the use of its resources to support the delivery of that service. Hence embodiments of the present invention provide a method of providing a service, in a communications environment, which comprises receiving a request for a service, accessing one or more stored parameters indicating availability of the service, providing an output based on the parameter(s) and subsequently scheduling resources and processing capacity for provision of the service.

Further to the above, in embodiments of the present invention, relevant information may be pro-actively identified and delivered to parties which have not specifically requested the information but which nonetheless are believed to have an interest in the information. Such an ability to disseminate information is useful particularly for parties, for example decision-makers or service requesters, who might be unaware that the information exists. The information dissemination might happen as the information becomes available or when the party initiates a service to which said information might be relevant.

Systems according to embodiments of the present invention can be used to enhance the way a large company runs its business by improving the way it accesses, uses and adds value to its vast quantities of information. The metaphor of 'concurrent engineering' suggests that the best way to achieve a business activity is to bring together as early as possible all the necessary information, resources and skills that are needed to execute that activity.

Further embodiments of the present invention particularly support the concept of a virtual organisation comprising two or more actual organisations which are linked for a defined period of time, for example by a business agreement or contract, and are treated for the purposes of the present invention as a single organisation. Under these conditions the or some of the resources associated with each organisation become available to the overall system. Such virtual organisations by their nature are subject to strict mechanisms that control which, and to what extent, transactions between the actual organisations can be carried out.

Embodiments of the present invention can provide the following activities:

- (i) allow the decision maker to access relevant information wherever it is situated in the organisation (this should be possible despite the fact that information may be stored in many different types of system and in many different information models);
- 5 (ii) allow the decision maker to request and obtain information management services from other departments within the organisation (and in some cases even from outside the organisation);
- (iii) proactively identify and deliver timely, relevant information which may not have been explicitly asked for (e.g. because the decision maker is unaware of its
- 10 existence);
- (iv) inform the decision maker of changes which have been made elsewhere in the business process which impinge upon the current decision context; and
- (v) identify the parties who may be interested in the outcome and results of the decision making activity.

15

As mentioned above, an advantage of embodiments of the present invention is that a decision to provide a service is based on stored parameters and not on real-time or near real-time information of the resources required to provide the service: there is no need to perform a detailed analysis of the resources

20 available to the system before a decision is reached. The system bases its decisions on an estimation of the capacity of the system to provide a service at the requested time.

The stored parameters might include the average time a service is expected to take, the expected cost of performing tasks to provide a service

25 and/or the amount of work already being done by the system. Other information can also be used to determine on what grounds a service will be provided, for example past experience of any dealings with the same entity.

Although the lack of a detailed resource analysis during provisioning does increase the risk that once a service has been negotiated for it might not be

30 possible to complete it, such failure can be dealt with acceptably, as described in more detail below.

The processing means is typically adapted to receive data from a resource(s) for use in updating the data store. Such data might comprise a

measure of capability of the system on the basis of the past performance of the resources. For example, each time a service has been provided by the system, information about how well the resources performed may be used to adjust the parameter(s). Performance information might include actual cost data and actual  
 5 time taken to provide a required output. The information might also include task current status information which is readily available to the system.

In some embodiments, the system comprises a request output connected to a distributed computing environment for requesting a component service or process from another entity. A component service, or sub-service, is one which  
 10 the system requires in order to provide its service. For example, if the service requested is to open a new business account, a sub-service might be the task of checking the financial viability of the prospective account holder. This sub-service would typically be provided by an entity which could be another system, or maybe even a human operator.

15 In some embodiments, the system comprises means for scheduling resource(s) to provide a service. Preferably, in this case, the processing means is adapted, in response to a failure by the scheduling means to schedule a resource, in time to complete a service, to:

- re-schedule the task/service;
- 20 • transmit a message to the entity that the originally requested service can only be provided under different conditions;
- re-locate the service with another service providing entity; or
- indicate to the entity that the service cannot be provided.

25 These possible actions give the system flexibility to deal with problems which might arise with the provision of a service.

The above-mentioned steps for recovery can be similarly applied to the case where a service fails during operation. A resource might become unavailable, for example, due to a break in communications.

30 In general therefore, the system may further comprise means for monitoring for failure, such as of scheduling means. In order to act on detection of a failure, the system may then be adapted to initiate a modified response output in respect of a relevant service request. It may further be adapted to store service

requests and to be triggered on detection of failure to identify and access the relevant stored process request, to reprocess it using one or more modified parameters from the updatable data store, and to provide a modified response output.

5 In embodiments of the invention, the system is arranged to provide more than one instance of a service, and/or of a negotiation for a service, to one or more requesting entities concurrently. An advantage of this aspect is that the system is available for use by plural service requesters. In this respect, preferably, at least some resources as well can support multiple resource requests concurrently.

10 In accordance with another aspect, the present invention provides a service provisioning system, said system comprising means for negotiating with an entity, in response to a request from said entity, to provide a service and means for accessing one or more resources available for use by the system to provide a service, said negotiating means including data about said system relating to a  
15 measure of the current system capacity to provide a service, and being arranged to negotiate substantially on the basis of said data to provide a service in response to a request.

In accordance with a further aspect, the present invention provides a method of service provision, said method being implemented in a distributed  
20 computing environment including at least one service provider and at least one service requester, said service provider comprising an input to receive a request from the or any service requester within said environment, an output to provide a response to said service requester, processing means to process said request to determine the nature of said response, means to access an up-datable data store  
25 for storing parameters indicative of the present capacity of the service provider to provide the service, and a control output to one or more resources in the environment available for use by said service provider, wherein the processing means determines the nature of said response on the basis of the data stored in the data store.

30 (The terms "service provider" and "service requester" mean here of course equipment for provisioning and accessing services respectively, rather than organisations and the like, as the terms are sometimes used elsewhere.)

Embodiments of the invention will now be described, by way of example only, with reference to the accompanying drawings, of which:

Figure 1 is a diagram which illustrates a suitable distributed architecture to support an embodiment of the present invention;

5        Figure 2 is a diagram which shows a basic building block of the architecture of Figure 1;

Figure 3 is a diagram which illustrates the relationships which exist between different parts of the building block of Figure 2;

Figure 4 is a diagram which illustrates the concept of a virtual agency;

10       Figure 5 is a diagram which represents the constituent parts of an agent according to an embodiment of the present invention;

Figure 6 is a diagram which illustrates an exemplary scenario in which an embodiment of the present invention can operate;

15       Figure 7 is a flow diagram of a process for operating a service in the scenario represented in Figure 6; and

Figure 8 shows an agent and the architecture in which it sits, in hardware terms.

20       Analysis of a number of business processes from various industrial and commercial domains, in making the present invention, resulted in several common characteristics being identified:

(i) multiple organisations are often involved in the business process. Each organisation attempts to maximise its own profit within the overall activity;

25       (ii) organisations are physically distributed. This distribution may be across one site, across a country, or even across continents. This situation is even more apparent for virtual organisations such as described in "Social Dimensions of Office Automation" by A Mowshowitz (1986), Advances in Computers, Vol 25, pp 335-404. These form allegiances for short periods of time and then disband when it is  
30       no longer profitable to stay together;

(iii) within organisations, there is a decentralised ownership of the tasks, information and resources involved in the business process;

(iv) different groups within organisations are relatively autonomous - they control how their resources are consumed, by whom, at what cost, and in what time frame. They also have their own information systems, with their own idiosyncratic representations, for managing their resources;

(v) there is a high degree of natural concurrency - many interrelated tasks are running at any given point of the business process. Although the control and resources of the constituent sub-parts are decentralised, there is often a need to place constraints on the entire process (e.g. total time, total budget, etc); and

(vi) business processes are highly dynamic and unpredictable - it is difficult to give a complete a priori specification of all the activities that need to be performed and how they should be ordered. Any detailed time plans which are produced are often disrupted by unavoidable delays or unanticipated events (e.g. people are ill or tasks take longer than expected).

Embodiments of the present invention are designed to support businesses in this type of environment.

Figure 1 shows a top-level view of a suitable architecture within a business organisation in which an embodiment of the present invention can operate. In Figure 1, a distributed system of agents are connected to one another via a suitable communications network 11. The environment, including the agents and the communications network, constitutes a distributed processing environment. Each department 12 in the organisation is represented by its own agent 10 in the environment which can provide a service related to the department to other agents.

A distributed computing environment should not be taken to be a specific piece of technology in this specification. It simply is intended to mean an environment in which computer processing capacity and resources may be located separately, being accessible via communications links of some sort.

In this description the term "agent" relates to a function or process which operates in the distributed computing environment and which can act

autonomously to receive a request for an operation and provide a result. An agent normally has access to up-datable local data and usually also some global information about the distributed environment in which it sits. Agents operate autonomously, having decision-making functionality (intelligence) allowing them to  
5 negotiate and output a result in response to an incoming message.

Each agent is able to perform one or more services. A service corresponds to some unit of problem solving activity. The simplest service (called a task) represents an atomic unit of problem solving endeavour in embodiments of the present invention. These atomic units can be combined to form complex services  
10 by adding ordering constraints (e.g. two tasks can run in parallel, must run in parallel, or must run in sequence) and conditional control. The nesting of services can be arbitrarily complex and at the topmost level the entire business process can be viewed as a service.

Services are associated with one or more agents which are responsible for  
15 managing and executing them. Each service is managed by one agent, although it may involve execution of sub-services by a number of other agents. Since agents are autonomous there are no control dependencies between them; therefore, if an agent requires a service which is managed by another agent it cannot simply instruct it to start the service. Rather, the agents must come to a mutually  
20 acceptable agreement about the terms and conditions under which the desired service will be performed. Such contracts are called service level agreements - SLAs. The mechanism for making SLAs is negotiation - a joint decision making process in which the parties verbalise their (possibly contradictory) demands and then move towards agreement by a process of concession or search for new  
25 alternatives. This mechanism is described in "Negotiation Principles" by H J Mueller (1996) in Foundations of Distributed Artificial Intelligence, published by Wiley Interscience and edited by O'Hara and Jennings.

Referring to Figure 3, the agents 31,32,33 generally have the same basic architecture. This involves an "*agent head*" 31 which is responsible for managing  
30 the agent's activities and interacting with peers and an "*agency*" 30 which represents the agent's domain problem solving resources, including other agents 32,33 as resources. The head has a number of functional components responsible

for each of its main activities - communication, service execution, situation assessment, and interaction management (see description below for more details). This internal architecture is related to the GRATE and ARCHON agent models described in "Controlling Co-operative Problem Solving in Industrial Multi-Agent Systems using Joint Intentions" by N.R. Jennings (1995), Artificial Intelligence 75 (2) 195-240; "GRATE: A General Framework for Co-operative Problem Solving" by N.R. Jennings, E.H. Mamdani, I. Laresgoiti, J. Perez and J Corera (1992), IEE-BCS Journal of Intelligent Systems Engineering, 1 (2) 102-114; and "Using ARCHON to develop real-word DAI applications for electricity transportation management and particle accelerator control" by N.R Jennings, J. Corera, I. Laresgoiti, E H Mamdani, F. Perriolat, P. Skarek and L.Z. Varga (1996), IEEE Expert.

Referring to Figure 8, typically, an agent 10 is embodied as a piece of software, for example written in the C programming language, running on a suitable computing platform 80, for example a UNIX (Trademark) based platform. Requests and results are passed between an agent 10 and a requesting entity, which might be another agent 85 or a user terminal 12,82, across a suitable communications network 86, for example a TCP/IP-compatible local area network, to which the computing platform 80 is interfaced.

The agent 10 may be provided with a local data store(s) 84,85, or may have access to a database 82 via the network 86. This or these data store(s) may hold SLAs between agents and in support of services to be provided by the system.

Each agent 10 will generally comprise (in its "agent head") a set of processes 51,52,53 for use in managing the agents and their interactions, and will also be provided (for instance within its "agency") with task processing capability and/or resources 41,42,46 for use in actual provision of services requested.

In some embodiments, in accordance with the principles of distributed processing environments, plural agents 10 can reside on a common computing platform 80 and, conversely, a single agent 10 can be realised across plural computing platforms 80 in the environment. Also, the computing environment might be heterogeneous, and support various different types of computing platforms.



The agents 10 are able to communicate and negotiate with each other for the provision of services. Services provided by agents can range from the provision of information and data to the implementation of some concurrent task within a business process. A service usually comprises a number of primitive tasks. A task, being a primitive functional component of a business process, is a re-usable building block that allows an agent to manage processes which make-up an enterprise. Typically, a task 41 has a low-level structure which allows a user to define the basic operations that make up a business process and can be implemented as a managed object in the distributed computing environment. A task also has an implicit representation of resources it will consume when it is activated and an explicit representation of its operational requirements, including the information it requires and produces, and its duration of activation. Thus, the way a task behaves under normal circumstances, once activated, is predictable. In this embodiment, a task supports two interfaces: a management interface to support a standard set of operations which permit the exchange of management commands and information between tasks and agents; and an operational interface to support a non-standard, but agreed set of operations which allow the exchange of operational messages between tasks. In essence, an agent 10 on the infrastructure in Figure 1 is characterised by the services that it provides.

In this embodiment there are three main requirements of the architecture: autonomy, concurrency and migration. Autonomy means that a local organisation, for example a legal department, is able to define how it will perform its own local tasks and processes. The definition will determine how an agent representing the local organisation will interact with other agents. Tasks and services associated with agents should be able to run concurrently, with interactions between the tasks and services being monitored and managed by the agent. Migration allows services to be defined for agents incrementally, without the need to redesign the overall distributed system.

Figure 2 shows a representation of a basic building block 20 of the architecture. The basic building block comprises an agent 21 and tasks 22 which are under the control of the agent. In some embodiments, building blocks 20 may be arranged to operate on a peer-to-peer basis. That is, each unit 20 is able to negotiate with any other unit when supplying or requesting a service. Most

commercial environments are founded on organisational models which are logically divided into a collection of related resources and services. Thus, in the present embodiment, the architecture draws upon this principle to group services and tasks where it makes pragmatic sense. For the present purposes, such a grouping of  
5 tasks and services is known collectively as an agency.

An agency is a collection of tasks (and by implication resources) and (sub-)agents that are under the direct control of an agent. An agency reflects the hierarchical grouping of tasks that are under some form of common ownership, and for which there is some reason to attempt to optimise the use of resources in the  
10 execution of those tasks. The collection of tasks and (sub-)agents in an agency does not necessarily reflect a functional grouping, though in most organisations this effect may be expected.

In Figure 3, other servant agents 32 and 33 can also belong within the agency of a controlling agent 31. This means that servant agents 31 and 32  
15 provide services exclusively to the controlling agent 31. However, a servant agent still maintains its autonomy. A servant agent cannot offer its service directly in the world outside its agency. Under some conditions an agent can have both the role of a controlling agent and of a servant agent. Agents in an agency will normally be the controlling agents of lower level agencies. This leads to a  
20 hierarchical organisation of agencies reflecting the logical structure.

Generally, there are two types of agent interaction: negotiation and service management. In practice it is possible to have a spectrum of interactions between these extremes.

In the present embodiment, a number of separate services can be  
25 combined in providing a single service. The agent providing the service is designated the controlling agent, and then a set of (sub-)services from different agents can be selected and grouped to form a virtual agency, as illustrated in Figure 4.

A virtual agency is a structure which supports the service management  
30 function of an agent. As shown in Figure 4, a virtual agency 40 is the collection of tasks and sub-services 41 and 42 (from other agents 43 and 44) involved in the provision of some service by a controlling agent 45. In this case, the controlling agent 45 will have (or require) contracts for the (sub-)services that it requires from

the other agents 43 and 44. The tasks 46 under its direct control that are involved in the provision of the service will be a sub-set of its agency. Each virtual agency is in a one-to-one mapping with a service that an agent provides. Before providing a service, the agent 45 can assemble pro-actively (at least some part of) its virtual  
5 agency by negotiating with other agents for its required (sub-)services. That is, it can negotiate and store SLAs in respect of a virtual agency in advance of receiving a service request.

An important advantage of supporting virtual agencies is that services can be provisioned automatically in real-time and resources can, in effect, be pooled  
10 from anywhere.

An agent can provide multiple services, each one demanding a virtual agency to be assembled and controlled. For this reason, it is necessary that the platforms supporting agents therefore can support multiple threads. Operating systems which support multiple threads are OS2, UNIX, Windows 95 (Trademark)  
15 or Windows NT (Trademark). In practice, distributed computing platforms have been developed specifically for supporting multi-threaded applications. One such platform is DAIS from ICL, which is conformant with the Object Management Group's (OMG) Common Object Request Broker Architecture (CORBA). CORBA-compliant products offer the Interface Definition Language (IDL) as a homogeneous  
20 object interface. An advantage of adhering to the CORBA standard is that all CORBA version 2 compliant platforms will be able to inter-work with each other extending the potential scope of applications using them.

In accordance with the present embodiment, an agent has three functional external interfaces:

- 25 • an agent negotiation interface having a standard set of primitives to support the negotiation of terms between agents requesting a service (client agents) and agents supplying services (server agents);
- a service management interface having a standard set of operations which permit the exchange of information between client agents and server agents;
- 30 and
- a task management interface having a standard set of operations which permit the exchange of management commands and information between agents and tasks.

In practice, all three functional interfaces are realised as a single physical interface, for example an interface in a computer system, in connection with a communications network 86.

Figure 5 shows the high-level, functional modules of an agent according to the present embodiment. The modules can reside on one computing platform or on several. Each module is typically a software process, where all the modules together define the character of the agent. Communications between modules is effected either by parameter passing in procedure calls, by each module having access to common data files containing relevant, up-datable data, or by inter-object messaging.

The agent 50 includes a negotiation management module (NMM) 51. The NMM 51 is invoked when it is necessary that a contract should be established with some external agent for providing a particular service. An agent can commit to a contract without performing detailed resource allocation. That is to say, the NMM 51 of an agent can commit that agent (a server) to provide a service without detailed scheduling by the agent's resource management module (RMM), which is described in more detail below. In this way, an agent de-couples negotiation from detailed resource scheduling, in order to support real-time performance during the negotiation process. In the present embodiment, an agent can negotiate for multiple contracts simultaneously. The NMM 51 of an agent is necessarily multi-threaded for this purpose.

During negotiation, the NMM 51 correlates and balances multiple criteria both within negotiation for a single service and across all the negotiations in which the agent is involved. The criteria can be modelled as (partial) ordinal value spaces that represent parameters such as quality, time, cost, etc.

A negotiation language, an example of which is illustrated in more detail below, is supported by the NMM 51 to support agent negotiations. The language comprises agreed primitives and a protocol to allow agents to suggest modifications to, and consent to, the value of parameters in a contract. The negotiation language protocol defines the valid ordering on sending and receipt of primitives during negotiation between agents. Negotiation for the contract involves the selection of messages referring to former messages, stored in a data

storage area, conforming to a protocol and processing incoming messages with regard to the protocol.

A contract, within the meaning of this description, is the result of a negotiated agreement between agents. The contract contains the terms and conditions for the delivery of an instance of a service. The contract contains a list of agreed values for parameters which establish the criteria for the delivery of the service. For example, the time(s) at which the service will be available and/or activated, the duration of the activation, the quality, the cost, penalty for failure, etc. These parameters are contained in a contract template, defined for each service on offer, which is used by an agent to structure its negotiations.

A RMM 52 serves as a link and balancer between an agent's two primary roles - that of being an individual and that of being part of a community. The RMM 52 manages resources controlled by the agent. The major concern of the RMM 52 is scheduling. This is essentially the maintenance of negotiated contracts. This involves the co-ordination and scheduling of services and tasks to ensure that existing contractual obligations are met. The RMM 52 checks regularly the conditions regarding an internal time line and changes of information. The RMM 52 also triggers negotiation by the NMM 51 when a contract is required.

A service/task management module (SMM) 53 is responsible for launching and controlling services and tasks. The SMM 53 deals with contracts which have been established, ensuring that terms and conditions are honoured, that appropriate levels of reporting take place and that the contract is finished cleanly. The SMM 53 also maintains the status of active services. This involves the maintenance of stacks, to perform the successive decomposition of services, and pointers to the active sub-services and tasks. Moreover, the SMM 53 is responsible for the provision of required information in order to launch a service including the checking of conditions and returning produced results. The SMM 53 furthermore performs tasks and task error tracking.

An agent can execute multiple services and tasks simultaneously. The SMM 53 of an agent needs to be multi-threaded for this purpose. During operation, the SMM 53 is also responsible for handling exceptions from the tasks within its agency and from other agents (as servers). Exceptions can be resolved, in accordance with the present embodiment, in one of several ways: re-resourcing

the task/service by the RMM 51; re-negotiating the terms of the contract (as the defaulting server agent); re-locating the service with another agent (as the aggrieved client agent); or ignoring the exception and accepting a penalty (if appropriate). This flexible approach to resolving exceptions is also applied to

5 instances where a contract has been entered into, without detailed resource scheduling, but cannot be completed due to an unforeseen demand for a particular resource or agent (as a server).

Each agent 50 has an information store, for example in main memory or on an external data storage device, which provides both persistent and temporary

10 (working) memory. The store can be partitioned into the self and acquaintance models.

The self model (SM) 54 comprises information on the services provided by the agent 50. The SM 54 maintains the representation of services and information under the regime of an agent and stores the contracts (SLAs) to which an agent

15 (as a supplier of a service) is committed.

The acquaintance model (AM) 55 enables the agent 50 to build up a picture of information as to the services offered by other agents and a history of the performance of those agents. Such historic information can determine which solution to a problem an agent adopts, in the event there is a choice. The AM 55

20 stores also the contracts (SLAs) that an agent (as a recipient of a service) made with other agents.

The nature and scope of the SLAs can be derived almost exactly from the types of legal contract which are often used to regulate current business transactions. An example of an SLA is as follows:

Slot Name	Instantiated Values
SERVICE_NAME:	cost_&_design_customer_network
SLA_ID:	a1001
SERVER_AGENT:	DD
CLIENT_AGENT:	CSD
SLA_DELIVERY_TYPE:	on_demand
DURATION: (minutes)	320
START-TIME:	9:00
END-TIME:	18:00
VOLUME:	35
PRICE: (per costing):	35
PENALTY:	30
CLIENT_INFO:	cr_profile
REPORTING POLICY:	customer_quote

- Service\_name is the service to which the agreement refers and sla\_id is the SLA's unique identifier (covering the case where there are multiple agreements for the same service). Server\_agent and client\_agent represent the agents who are party to the agreement. Delivery\_type identifies the way in which the service is to be provisioned. The SLA's scheduling information is used for service execution and management - duration represents the maximum time the server can take to finish the service, and start\_time and end\_time represent the time during which the agreement is valid. In this case, the agreement specifies that agent CSD can invoke agent DD to cost and design a customer network whenever it is required between 09:00 and 18:00 and each service execution should take no more than 320 minutes. The agreement also contains meta-service information such as the volume of invocations permissible between the start and end times, the price paid per invocation, and the penalty the server incurs for every violation. Client\_info specifies the information the client must provide to the server at service invocation (in this case CSD must provide the customer profile) and reporting\_policy specifies the information the server returns upon completion.

There are two support modules which support the creation and communication of the agent 50. A communication module (CM) 56 is the focal point for both in-coming and out-going messages. The CM 56 supports the distribution of software agents across the distributed computing environment.

- 5       An initialisation module (IM) 57 is the module that is started first. This module initialises all the other agent modules. Once all the modules are in place, the IM 57 is mostly inactive. It exports an object identifier to the distributed computing environment so that it can be located by other agents. The IM 57 is also the initial point of connection between the agent and a range of agent
- 10   management, inspection and debugging tools.

Figure 6 illustrates an example of a virtual agency according to the present embodiment. There are six parties in the agency, each having a respective agent: a sales department 600 and its associated agent 60; a customer service division 610 and its associated agent 61; a legal department 640 and its associated agent

15   64; a design division 630 and its associated agent 63; a surveyor department 650 and its associated agent 65; and a customer vetting department 620 and its associated agent 62.

The customer service division 610 is able to provide, via its agent 61, a "provide customer quote" service. This service has three component services: a

20   "legal advice" service; a "vet customer" service; and a "cost and design customers network" service, plus five component tasks: "capture customer details" 612; "capture customer requirements" 611; "identify service requirements profile" 614; "identify service" 613; and "provide quote" 615.

The legal advice service is offered as a "regular" service (the types of

25   service offered are explained in more detail below) by the legal advice agent 64, whereby on a regular basis the legal department will review the customer requests for bespoke services and flag those that are not legal or which pose legal problems.

The vet customer service, provided by the vet customer agent 62, is an

30   "on-demand" service consisting of a single task 621 which vets customers by verifying identity and checking credit worthiness. Typically, the vet customer service would be provided by an out-sourced credit checking agency.



The cost and design customer network service, provided by the cost and design customer network agent 63, costs the bespoke service requested by the customer. This service comprises three tasks and one component service. The tasks are: "analyse requirements" 632; "design network" 631; and "provide quote" 633. These tasks, based on their knowledge of the customer's premises equipment (CPE), provide a quote for the required network. In certain circumstances, the survey customer site service might be utilised to survey the customer's site.

The survey customer site service, provided by the survey customer site agent 65, is a "one-off" service which has to be specifically negotiated for when needed. This service is only required when there are insufficient details on a customer's site for design to commence. The process for providing a quote is exemplified in Figure 7.

The provide customer quote service is typically offered to a telecommunications sales department 600 to support its customer servicing. On receipt of a customer service quote request, the customer service agent 61 will generate a quote for the required service and send it to the customer.

The process is initiated with a customer contacting the customer service division in step 700. The customer details are captured, in step 705, and whilst the customer is being vetted in step 715 the customer's requirements are captured in step 710. If the customer's vetting fails, then the process is terminated by step 720.

The customer's requirements are recorded and mapped against the service portfolio in step 725. If the requirements can be met by a standard off-the-shelf portfolio item then an immediate quote can be offered in steps 730, 735 and 740, after which the service ends. In cases of bespoke service requests, the process is more complex and involves a bid manager.

For bespoke items the bid manager(not shown) further analyses the customer's requirements in step 745, and the legality of the requirements are checked in step 750. In circumstances where a request is possibly illegal the quote process will be suspended pending more information from the customer at step 770. Where a request is definitely illegal, determined by step 760, the process is terminated and the customer informed. For the present purposes, it will

be assumed that the bid manager is a human operator, but it is envisaged that a number of the tasks can be automated.

In order to prepare a network design and a quotation it is necessary to have a detailed plan of existing equipment at the customer's premises. In certain cases plans of the CPE might not exist or be out of date. In such cases the bid manager will determine whether the customer site should be surveyed in step 755. This would typically only be done where the bid value exceeds a certain level (ie the most profitable bids). If required a survey is requested in step 765. Once the required information on customer CPE is available the network is designed in step 775. On completion of the network design and associated costing, the customer will be informed of the service quote in step 740 and the process terminated.

Each activity in this process requires resourcing and has a start and an end point whereby progress can be measured. The choice points in the process indicate which activities require provisioning to operate sequentially. Similarly, there are a number of activities which must/may operate concurrently and which require co-ordinating.

The key role of an agent is to provide a service. A service can be requested (or negotiated for) by another agent, and typically this may result in the transfer of information between the agents. Agents must contain the definitions of how to provide each of the services which it offers. Accordingly, a description for each service is represented in the agent. A service description is made up of two types of primitives:

1. tasks - executed entirely within the control of the agent;
2. services - provided by other agents over the infrastructure.

Tasks and services may be initiated concurrently, and the interaction and communication between them is managed automatically by constraints in the service description. It should be noted that services in turn may be defined recursively in terms of services from other agents, but eventually the definitions will be solely in terms of task.

A service is a packaging of tasks and other (sub-)services that allows an agent to offer (as server) from its agency, or to receive (as client) from another

agent, some functional operation. The service can be re-used as a component of another service. In the present embodiment, a service is a recursive control structure composed of tasks, other (sub-)services and performance parameters. The performance parameters are agreed during a negotiation process between two  
5 agents (referred to as client and server respectively). These parameters determine the precise characteristics of an instance of a service upon activation.

In some situations, an agent may need to guarantee the existence and availability of a particular service with some fundamental level of assurance and reliability. This would be defined by the performance parameters. There are three  
10 basic levels of service: one-off, which allows a single activation of the service (the time of activation is agreed during negotiation); regular, which allows multiple activations of the service at agreed and pre-scheduled times; and on-demand, which allows activation of the service at and time within an agreed time window.

A service description is created and registered with an agent by a  
15 language which supports the formulation of complex concurrent operations. A description comprises a list of statements defining the steps which together define the service. Within the language, each statement expresses both the sub-set of a virtual agency which is to be used and the condition(s) under which control may pass to the next statement. The language also contains primitives to express that  
20 tasks or (sub-)services may be executed concurrently, or that they must be run concurrently. In some cases, however, sequential operation is also provided for.

Preferably, the service description language is an interpreted language, and services may therefore be re-defined by a service creator and registered with an agent without extensive re-compilation. For this reason, each of the core modules  
25 in an agent includes an interpreter to support the main function of the module (service negotiation, resource management and service/task execution respectively). The language generally combines aspects of declarative non-determinism, which allows an agent to determine dynamically which elements of the virtual agency to employ, and direct procedural control, which allows the  
30 service creator to structure and order the language statements.

In use, an agent uses a service description to determine, firstly, how best to negotiate for sub-services in its virtual agency and, secondly, how to manage the execution of those sub-services together with its own tasks (if it has any).

A service can be defined, for example, by the following features:

1. Each service has a unique name.
- 5      2. Each service has a guard. A guard declares information which is required in order to launch the service. There may also be constraints expressed such as that a service may be launched only when some value x is available and is greater than 5, etc.
- 10     3. Each service may have assumptions. An assumption may impose further constraints on information or assign default values (which are then believed but perhaps not yet known).
- 15     4. Each service has a body which describes how the service can be executed.

By way of example, the part of an agent's self-model which contains the service descriptions may be instantiated in the following manner:

```

20        (Service
             :Name PriceForecast
             :Guard (Region, ProductionCapacity, CapacityCompetition, Demand,
                     Experience)
             :Assumption (SalesLevel :Default 100 :Obtain)
25        :Body (Sequence
                     (Parallel
                         (Sequence CreateTable, SetYears (94..96))
                         (Calculate    (Region, ProductionCapacity,
                                        CapacityCompetition, Demand,
30                                          Experience))
                     StoreInTable))

```

This routine states that a price forecast is produced based on information about a region, the production capacity of the company and the capacity of the competition, the demand specified by a client and the experience of a company which is fixed in the services guard. In general, this information will not be  
5 available automatically and has to be provided on demand. This will be done by looking up an agent's self and acquaintance models. Most of the information which is not given beforehand might be obtained via launching appropriate services as indicated by a "provided-by" slot. After checking this initial condition (guard), in order to execute the appropriate calculations, the agent will assume that the  
10 sales level (in relation to the specified demand) will be 100%. Albeit in order to justify its calculation, the agent will have to launch a service to obtain the definite value of the sales level. When this has been checked, the agent will initiate the service execution, ie it will launch the body.

It should be noted that none of the services in the body needs to be  
15 executed by the agent itself. It is likely that the parallel part of the body will be provided by different agents. In general, each of the services in the body will be represented somewhere in the agent's self or acquaintance models. In fact, what the body describes is that a price forecast is provided as a short sequence of services. The first service is a parallel service which is followed by the service  
20 "StoreInTable". The parallel service describes the creation of a table in which the years 94 to 96 are initialised. At the same time (in parallel), an agent performs some calculation. When this has been provided successfully, then the results may be stored in the table.

There is a need to define a language that enables the agent to  
25 communicate and negotiate. Furthermore, when two or more agents are communicating they must share a common view of the problem domain. The following description provides an example of such a language for negotiation between two peer-level agents each representing their own respective agencies. It will be appreciated, however, that other forms of language would be equally as  
30 suitable for this purpose. The generic service/information negotiation structure is as follows.

1. Find/locate (a service or piece of information) - make contact.

2. Ask/explain (what is the form or nature of the service or information)  
- get the details.

3. Establish/negotiate (setting a service or receiving some information) -  
agree what is to be done.

5 4. Execute/review/inform (perform the service or deliver the  
information, with the ability to review progress and inform when  
necessary) - do what you agreed.

5. Terminate.

10 It is important that this structure applies to both explicit service requests  
as well as the more general, implicit service requirement of finding, locating and  
managing information within a business. The structure employs the following  
primitives, numbered in accordance with the above structure.

15 1. CAN (YOU/ANYONE) DO <a service s>  
CAN (YOU/ANYONE) PROVIDE <information i>  
--> >return list of service/information providers

20 The primitives would be equally applicable in a multi-cast situation  
involving department or enterprise based agents and location brokers, as  
well as a contract net type of broadcast request for the service. Various  
degrees of sophistication could be imagined in terms of the details  
associated with the location of the service provider dependant upon the  
type of models that are developed for agents themselves. These  
25 primitives can be summarised as saying "WHO" can do this and "WHERE"  
they are.

30 2. SERVICE DETAILS <ask agent a, regarding service s>  
INFORMATION DETAILS <ask agent a, regarding information i>  
--> >return list of <inputs required>, <outputs given>,  
<Optional Resource ("time"/"cost"/"..." estimate>

These primitives let you establish exactly what the service consists of in more detail. It can be summarised as saying "WHAT" can be done. As no global common language is assumed, an essential additional primitive here will be "EXPLAIN <ontology/term>" which will be needed to allow agents to handle new terms.

3. PROPOSE <agent a, service s, conditions c, optional rationale r>  
 COUNTER PROPOSE <agent a, service s, conditions c, optional rationale r>  
 REJECT  
 ACCEPT  
 -->>return <agreement (working conventions, reporting level, penalties, etc)>

These are the basic primitives that allow agents to agree how a service is to be provided. The conditions will be split into "mandatory" and "desirable". The optional rationale and details of service provision should provide agents with the mechanism to break deadlocks arising from "unnecessary" mandatory requirements, or provide novel/alternative forms of service provision. This should allow much more sophisticated forms of negotiation processes to be developed/researched. The key thing to note here is that excepting a proposal, after any modifications (and perhaps nested asking/explanation), results in a specific contract that can then be scheduled to be carried out.

4. INVOKE <agent a, service s, agreement c>  
 INFORM (ie notify) <agent a, mode of acknowledgement m>  
 QUERY/INSPECT <service s>  
 REVIEW <services delivered d>

Services are invoked with respect to some prior agreement, after which the progress can be queried or formally reviewed according to the reporting levels in the contract. If it is necessary for the agents to inform

each other of events (unforeseen or otherwise) then this can be done with the mode of acknowledgement set to "none" or "need acknowledgement" or "re-negotiate". This is a critical primitive that will allow the whole negotiation process to be become nested if necessary.

5

5. TERMINATE <status s, option reason r>

When a service terminates it will either have satisfied its "success" or "delivery" criteria set out in the contractor not. If not, an optional reason should be given for termination.

10

The above description illustrates an embodiment of the present invention suitable for managing business process enactment. The embodiment demonstrates how multiple agents in a distributed computing environment can co-operate to manage both the collection of pertinent information and the tasks and resources which use the information. Such a system potentially speeds up processes within an organisation to provide a better overall service to its internal and external customers as well as the provision of whatever services are available, by running the tasks and resources, particularly by the use of prenegotiated SLAs in virtual agencies.

15

20

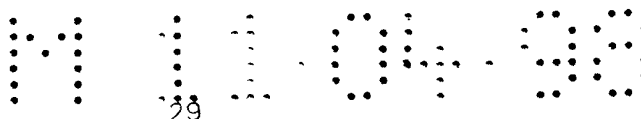
The system provides flexibility in that it is capable of negotiating with a requesting entity over provision of a service, and/or with resources available to it in provision of a service, so as to be able to determine a modified version of a service which is acceptable to the entity, or to find a modified relationship with said resources so as to provide the service.

25

In addition, it is possible for the system to act proactively in information and service provision to the user, for instance in relation to changes affecting potentially requested services by that user.

30





CLAIMS

AMENDED SHEET

1. A service provisioning system for use in providing services in a distributed processing environment, said system comprising:
  - 5 an input connected to a distributed processing environment for receiving a service request from an entity;
  - a response output connected to said distributed processing environment for providing a response to the entity;
  - processing means to process the service request and provide a response
  - 10 thereto; and
  - means to access an up-datable data store for storing parameter(s) indicative of the available capacity of the system to provide the service,
  - wherein the processing means is adapted to decide, substantially on the basis of data held in the data store, whether to provide a service, to propose
  - 15 conditions under which the system is willing to provide a service or to decline to provide a service.
2. A system according to claim 1, said system further comprising means for scheduling tasks/resources to provide a service.
- 20 3. A system according to either one of the preceding claims, said system further comprising means for scheduling a component service to provide a requested service.
- 25 4. A system according to either one of claims 2 or 3, wherein the processing means is adapted, in response to a failure by the scheduling means to schedule a task/resource or component service, to: reschedule the task/resource/component service; transmit a message to the entity that the originally requested service can only be provided under different conditions; relocate the service with another
- 30 service providing entity; or indicate to the entity that this service cannot be provided.

5. A system according to any one of the preceding claims, wherein the processing means is adapted, in response to the inability of a resource or component service to be completed successfully, to: reschedule the tasks/service; transmit a message to the entity that the originally requested service can only be provided under different conditions; relocate the service with another service providing entity; or indicate to the entity that the service cannot be provided.

6. A system according to any one of the preceding claims, wherein the way in which the processing means is adapted to make a decision is that the processing means is adapted to process a service request by accessing one or more parameters in the data store, processing the request using the one or more parameters, and producing a response at the output, which response is selected from indications that

- a) sufficient capacity is available to provide the service;
- b) insufficient capacity is available to provide the service; and
- c) sufficient capacity is available to provide the service if modified, together with associated modifications.

7. A system according to any one of the preceding claims, comprising a control output connected by said distributed processing environment to one or more tasks and/or resources required to provide the service.

8. A system according to claim 7, wherein the processing means is adapted to receive data from the tasks and/or resource(s) for use in updating the data store.

9. A system according to claim 8, wherein said data includes task/resource performance and/or task/resource status data.

10. A system according to any one of the preceding claims, comprising a request output connected to said distributed processing environment for requesting a component service from another entity.

11. A service provisioning system, said system comprising means for negotiating with another entity, in response to a request from said other entity, to provide a service and means for accessing one or more resources available for use by the system to provide a service, said negotiating means including data about  
5 said system relating to a measure of the current system capacity to provide a service, and being arranged to negotiate substantially on the basis of said data to provide a service in response to a request.

12. A system according to claim 11, comprising means to update said  
10 information on the basis of the past performance of the system.

13. A system according to either claim 11 or claim 12, comprising means to schedule resource(s) for use by the system necessary to provide a service.

14. A system according to claim 13, comprising means to initiate the negotiating means to re-open negotiation with the entity which requested the service in the event one or more resources cannot be scheduled.

15. A system according to any one of the preceding claims, arranged to  
20 provide more than one instance of a service, and/or of a negotiation for a service, to one or more requesting entities concurrently.

16. A system according to any one of the preceding claims, further comprising a data store containing data relating to the services offered by the system and to  
25 one or more entities which have an interest in receiving information relating to enactment of one or more of said services, means to access said data store in response to a service request and establish that information should be transmitted to one or more of said entities and means to transmit said information to said entities.

30  
17. A system according to claim 16, wherein said means to transmit are operable in the absence of a specific request to transmit the information from the entities.

18. A distributed computing environment comprising plural systems according to any one of the preceding claims connected by a communications network, wherein at least one of said systems is arranged to provide more than one instance of a service, or of a negotiation for a service, to one or more requesting systems  
5 concurrently.

19. A distributed computing environment according to claim 18, wherein each of said systems is associated with one of a plurality of organisations, said organisations together defining a virtual organisation.  
10

20. A distributed computing environment according to claim 19, wherein the virtual organisation exists for a pre-determined period.

21. A method of business process enactment, said method being implemented  
15 in a distributed computing environment including at least one service provider and at least one service requester, said service provider comprising an input to receive a request from the or any service requester within said environment, an output to provide a response to said service requester, processing means to process said request to determine the nature of said response, means to access an up-datable  
20 data store for storing parameters indicative of the present capacity of the service provider to provide the service, and a control output to one or more resources in the environment available for use by said service provider, wherein the processing means is adapted to determine the nature of said response on the basis of the data stored in the data store.

25

22. A method according to claim 21, wherein, in the event a service provider and a service requester agree a contract to provide and accept a service respectively, a copy of the contract is stored as a data structure representing the terms and conditions of the contract by both the service provider and the service  
30 requester.

23. A service provision system for use in distributed processing environments, said system comprising:

an input for receiving a service request;

service request processing means for identifying component processes for use in provisioning the requested service;

negotiation means for use in establishing conditions applicable to provision of those component processes;

5 means to access an up-datable data store for storing conditions when established; and

an output for providing a response to the service request, said response comprising an indication of availability of the requested service;

10 wherein the processing means is adapted to process a service request by accessing one or more of the conditions in the data store, processing the request using the one or more conditions, and producing said response.

24. A system according to Claim 23 wherein one or more of said conditions  
15 may have an associated expiry time for storage in the data store.

25. A system according to Claim 24 wherein the processing means is adapted to detect an expired or absent condition in the data store, which condition is applicable to a component process for the provision of a requested service, and to  
20 trigger the negotiation means to establish a substitute condition.

26. A system according to any one of Claims 23 to 25 which further comprises initiation means to initiate one or more component processes in provision of a requested service.

25

27. A system according to Claim 26, wherein provisioning a requested service requires provision of a selected set of component processes and wherein the negotiation means establishes and stores a set of conditions, applicable to provision of the component processes of the selected set, and wherein the  
30 processing means is adapted to process a service request by accessing the stored set of conditions in the data store, processing the request using said stored set, and producing said response.

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Fig.1.

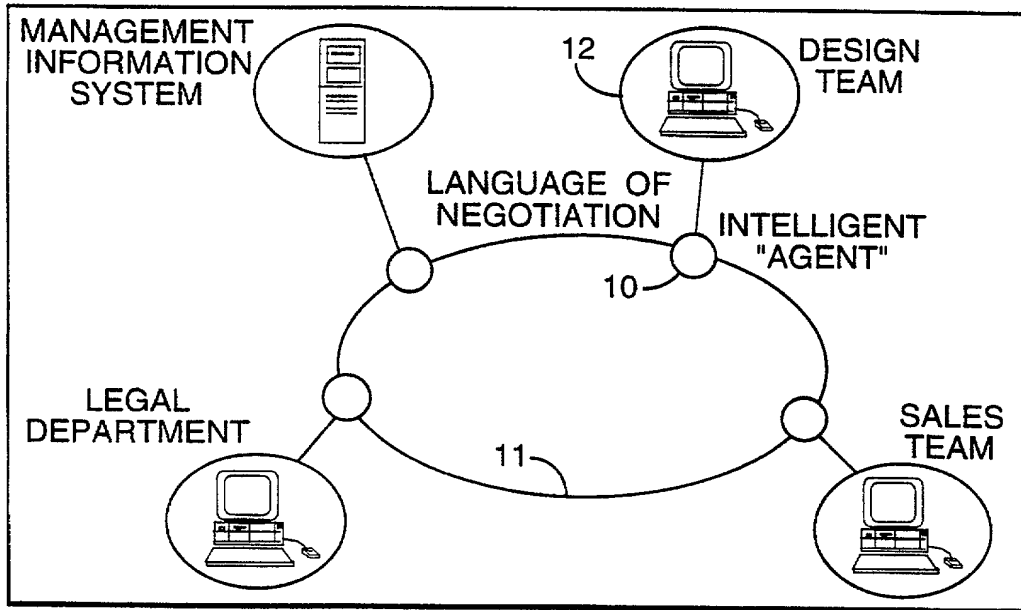


Fig.2.

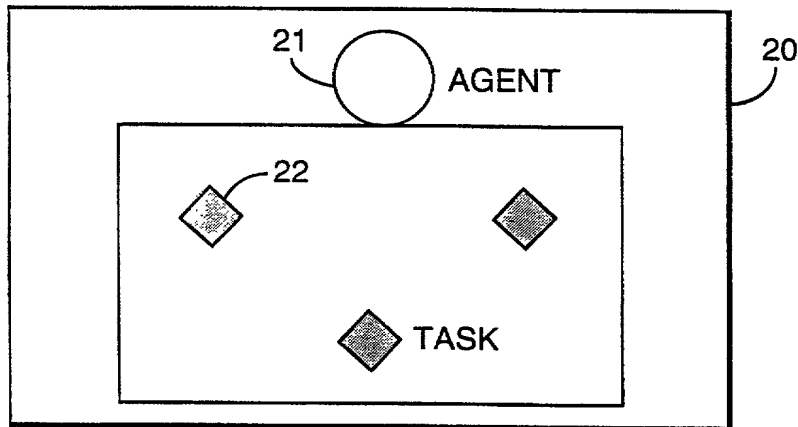


Fig.3.

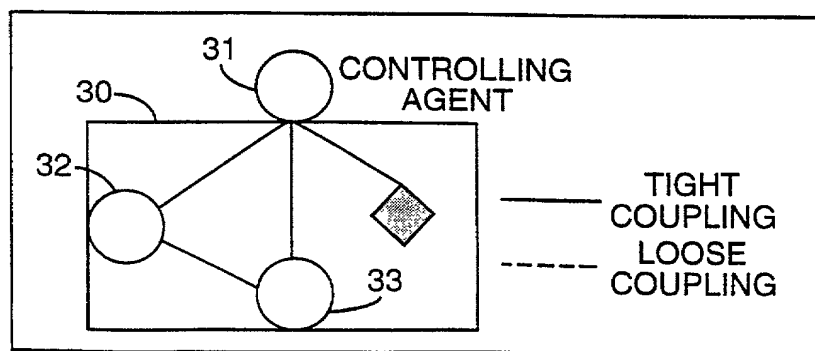


Fig.4.

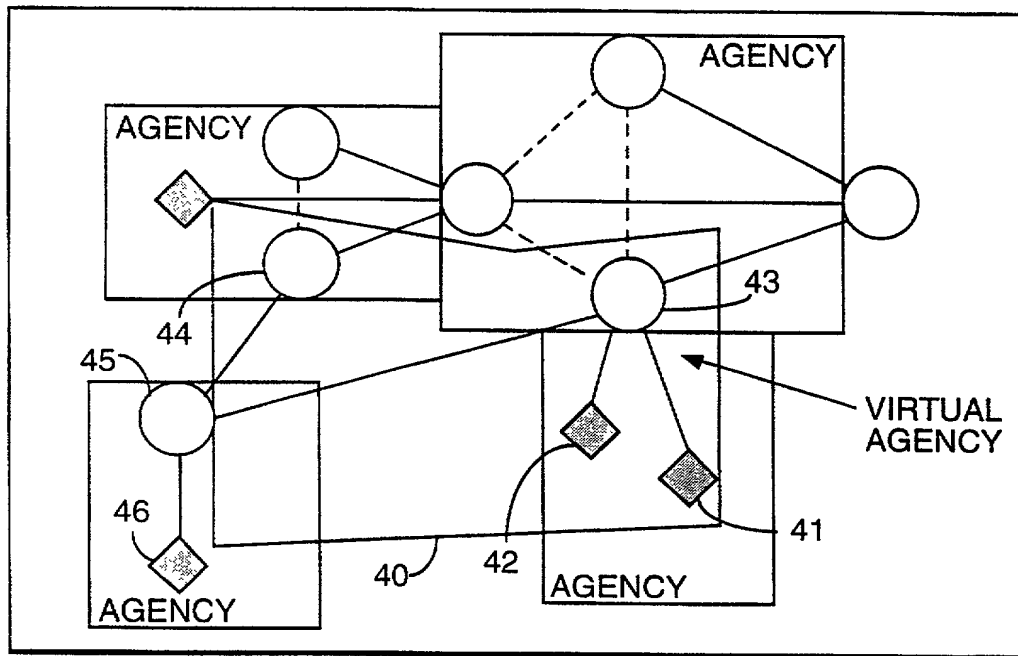
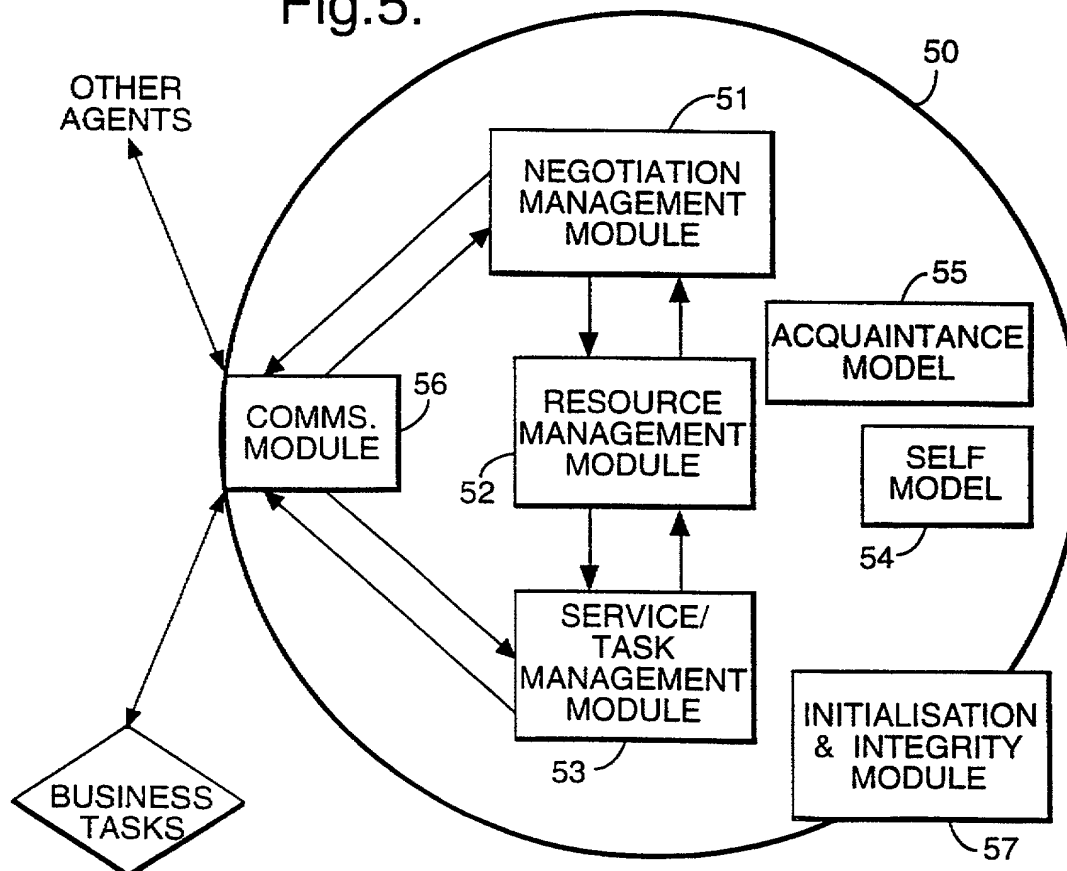


Fig.5.



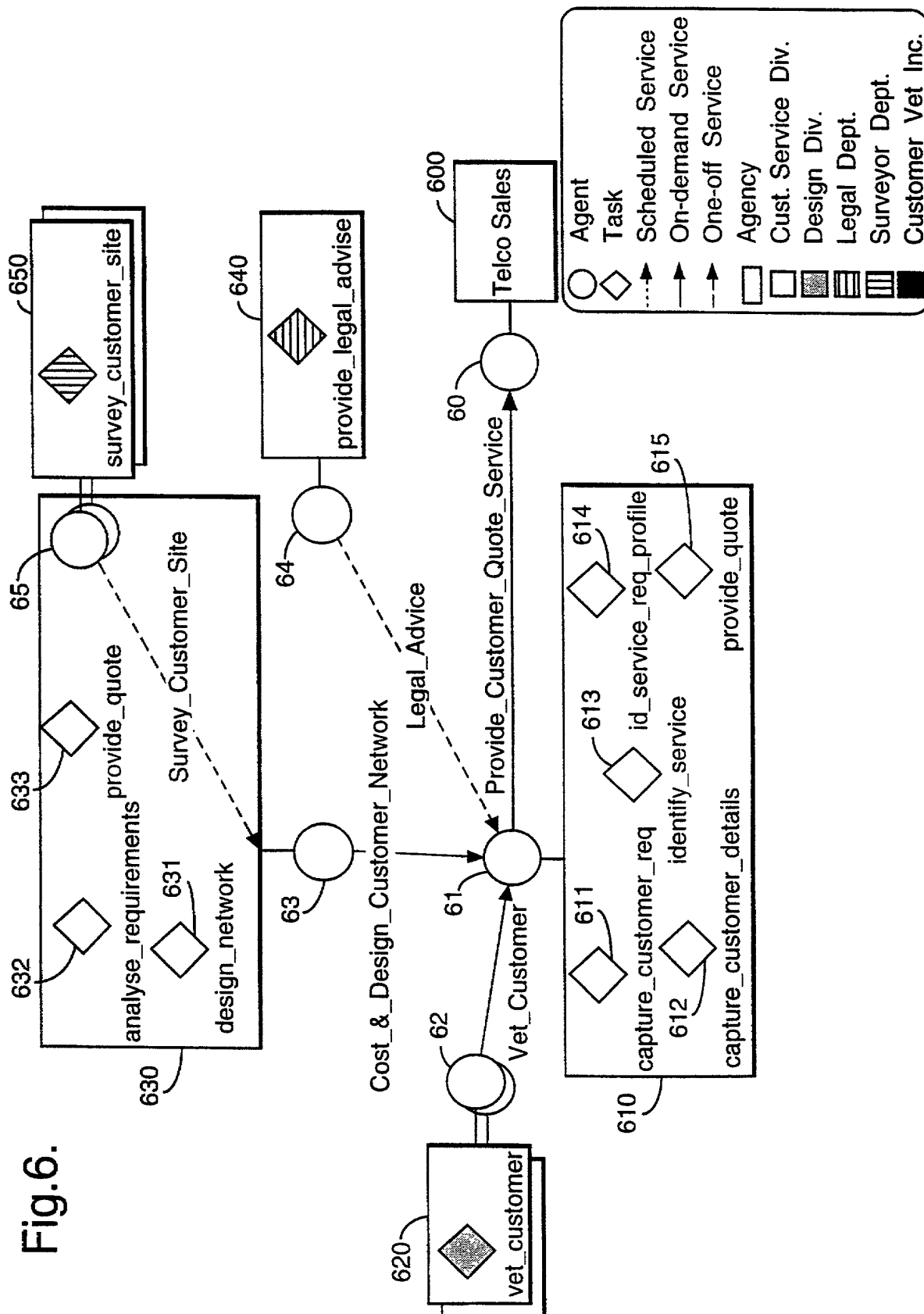
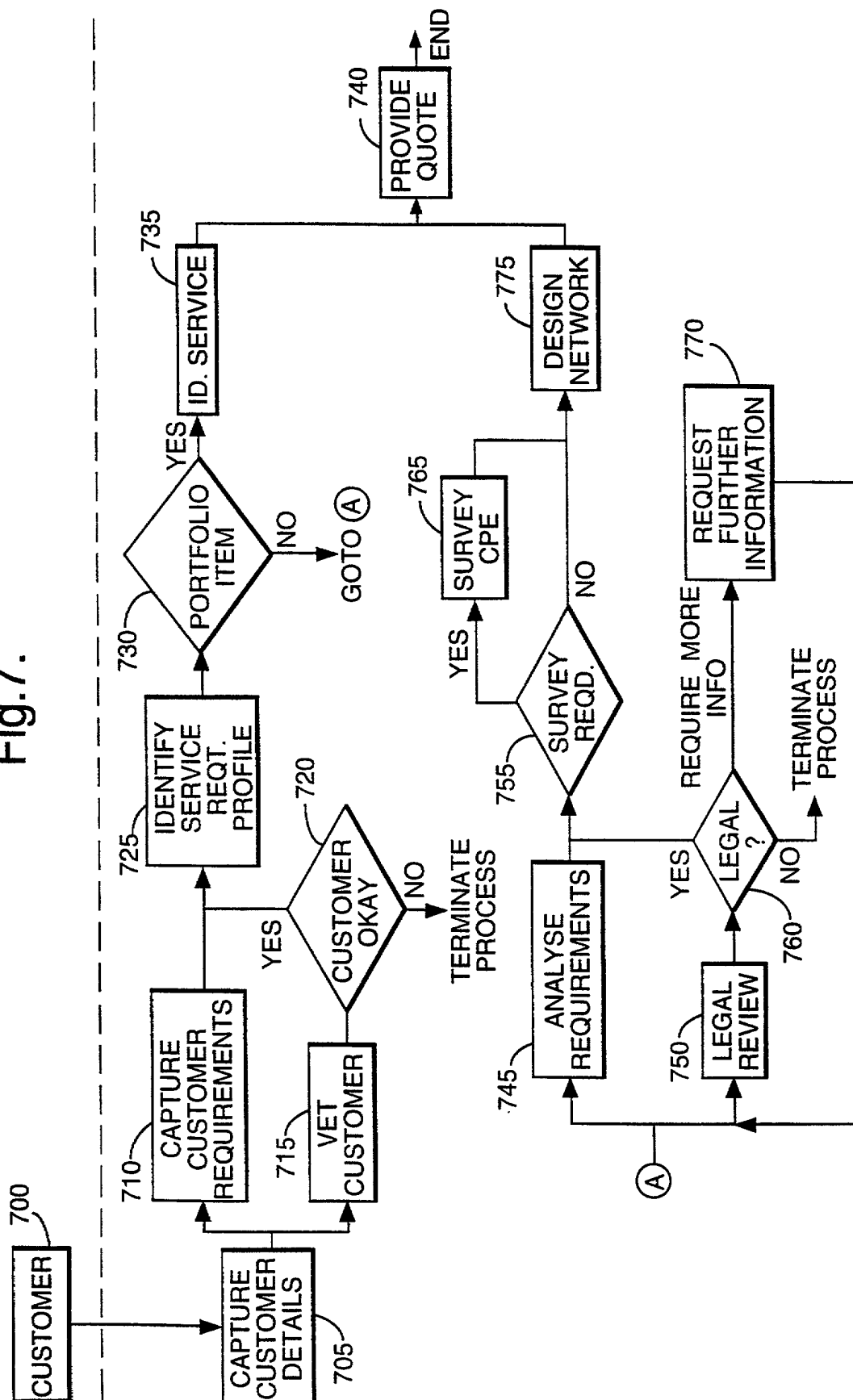
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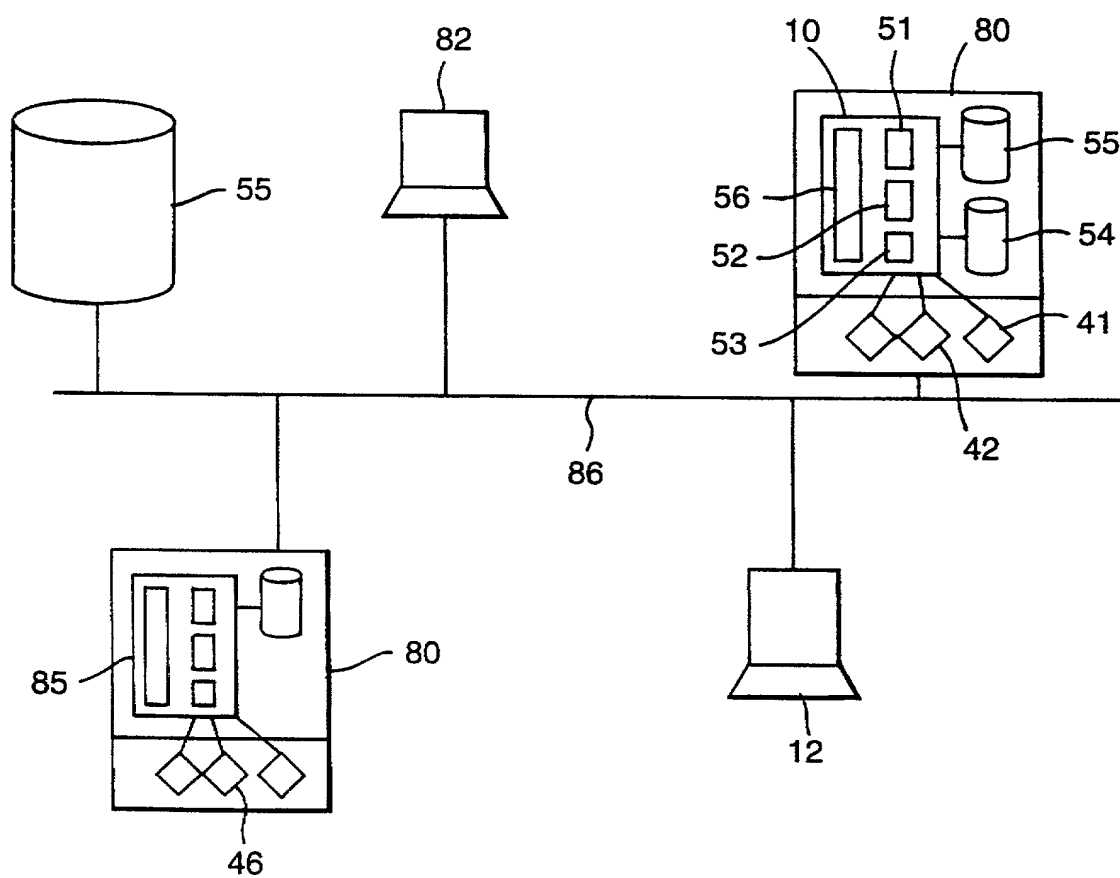


Fig.7.



09/043406

Fig.8.



**RULE 63 (37 C.F.R. 1.63)**  
**DECLARATION AND POWER OF ATTORNEY**  
**FOR PATENT APPLICATION**  
**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

As a below named inventor, I hereby declare that my residence, post office address and citizenship are as stated below next to my name, and I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: SERVICE PROVISION SYSTEM FOR USE IN DISTRIBUTED

**PROCESSING ENVIRONMENTS**

the specification of which (check applicable box(es)):

☐ is attached hereto.

☐ was filed on \_\_\_\_\_ as U.S. Application Serial No. \_\_\_\_\_

☒ was filed as PCT international application No. PCT/ GB97/00395 on 12 FEBRUARY 1997

and (if applicable to U.S. or PCT application ) was amended on \_\_\_\_\_

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above. I acknowledge the duty to disclose information which is material to the examination of this application in accordance with 37 C.F.R. 1.56. I hereby claim foreign priority benefits under 35 U.S.C. 119/365 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed or, if no priority is claimed, before the filing date of this application:

**Prior Foreign Application(s):**

Application Number	Country	Day/Month/Year Filed
96300961.8	EUROPE	12 FEBRUARY 1996
9602780.0	GREAT BRITAIN	12 FEBRUARY 1996
9607504.9	GREAT BRITAIN	11 APRIL 1996

I hereby claim the benefit under 35 U.S.C. §119(e) of any United States provisional application(s) listed below.

Application Number	Day/Month/Year Filed
--------------------	----------------------

I hereby claim the benefit under 35 U.S.C. 120/365 of all prior United States and PCT international applications listed above or below and, insofar as the subject matter of each of the claims of this application is not disclosed in such prior applications in the manner provided by the first paragraph of 35 U.S.C. 112, I acknowledge the duty to disclose material information as defined in 37 C.F.R. 1.56 which occurred between the filing date of the prior applications and the national or PCT international filing date of this application:

**Prior U.S./PCT Application(s):**

Application Serial No.	Day/Month/Year Filed	Status: patented, pending, abandoned
08/659528	6 JUNE 1996	Pending
PCT/GB97/00395	12 FEBRUARY 1997	Pending

I hereby declare that all statements made herein of my own knowledge are true and that statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon. And I hereby appoint NIXON & VANDERHYTE P.C., 1100 North Glebe Road, 8th Floor, Arlington, VA 22201-4714, telephone number (703) 816 -4000 (to whom all communications are to be directed), and the following attorneys thereof (of the same address) individually and collectively my attorneys to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith and with the resulting patent: Arthur R Crawford, 25327; Larry S. Nixon, 25640; Robert A. Vanderhye, 27076; James T. Hosmer, 30184; Robert W Faris, 31352; Richard G Besha, 22770; Mark E. Nusbaum, 32348; Michael J. Keenan, 32106; Bryan H. Davidson, 30251; Stanley C. Spooner, 27393; Leonard C. Mitchard, 29009; Duane M. Byers, 33363; Paul J. Henon, 33626; Jeffry H. Nelson, 30481; John R. Lastova, 33149; H. Warren Burnam Jr., 29366; Thomas E. Byrne, 32205; Mary J. Wilson, 32955; J. Scott Davidson, 33489; Alan M. Kagen, 36178; William J. Griffith, 31260; Robert A. Molan, 29834.

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**RULE 63 (37 C.F.R. 1.63)**  
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2. Inventor's Signature: \_\_\_\_\_ Date: 1/3/98  
Inventor: **MARK E WIEGAND**  
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Post Office Address: **PO BOX 25191, OVERLAND PARK, USA**  
(Zip code) **KS66225**

FOR ADDITIONAL INVENTORS, check box ☐ and attach sheet with the same information and signature and date for each.